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May 29, 2002

U.S. Patent and Trademark Office  
BOX: SEQUENCE  
P.O. Box 2327  
Arlington, VA 22202

Re: Inventors: Harold R. Garner, Monica M. Horvath, John W. Fondon, III and Alexander (NMI) Pertsemlidis  
Patent Application Entitled: PREDICTION OF DISEASE-CAUSING ALLELES FROM SEQUENCE CONTEXT  
Application Serial No.: 09/998,904  
Filing Date: November 30, 2001  
Our File No.: 119929-1037

Dear Sir:

In regard to the above-referenced mater, we have enclosed the following documents:

1. Response to Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures;
2. Copy of Notice to Comply Part 2;
3. Diskette containing Computer Readable Format (CRF) copy;
4. Hard copy of Sequence Listing; and
5. Postcard.

Please file the above-referenced documents and return the date-stamped postcard to our office at the above address. It is believed that no additional fees are due. If this is incorrect, the Commissioner is hereby authorized to charge any fees due which may be required by this paper to Deposit Account No. 07-0153.

In the meantime, if you have any questions or comments concerning any of the above, please call the undersigned at your convenience. Otherwise, please accept the enclosed.

Respectfully submitted,

GARDERE WYNNE SEWELL LLP

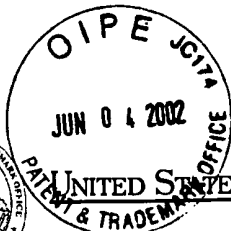
Edwin S. Flores  
Registration No. 38,453

Enclosures

ESF:MAV:az

DALLAS 1145739v1  
GARDERE WYNNE SEWELL LLP

3000 Thanksgiving Tower, 1601 Elm Street, Dallas, Texas 75201-4761 ■ 214.999.3000 Phone ■ 214.999.4667 Fax



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/998,904	11/30/2001	Harold R. Garner	119929-1037

CONFIRMATION NO. 4132 #7

## FORMALITIES LETTER



\*OC000000008079681\*

Sanford E. Warren  
Gardere Wynne Sewell LLP  
Suite 3000  
1601 Elm Street  
Dallas, TX 75201-4761

Date Mailed: 05/10/2002

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*

*NA*  
\_\_\_\_\_  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

#7

Attorney Docket No.: 119929-1037

PATENT



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Application of: Harold R. Garner, Monica M. Horvath, John W. Fondon, III and Alexander (NMI) Pertsemlidis

Serial Number: 09/998,904

Filing Date: November 30, 2001

Group Art Unit: 1645

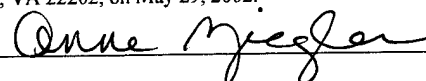
Examiner: N/A

Title: PREDICTION OF DISEASE-CAUSING ALLELES FROM SEQUENCE CONTEXT

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**Certificate of Mailing under 37 CFR 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope, with sufficient postage, addressed to: U.S. Patent and Trademark Office, BOX: SEQUENCE, P.O. Box 2327, Arlington, VA 22202, on May 29, 2002.

  
\_\_\_\_\_  
Signature

Anne Ziegler  
\_\_\_\_\_  
Typed or printed name of person signing certificate

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U.S. Patent and Trademark Office  
BOX: SEQUENCE  
P.O. Box 2327  
Arlington, VA 22202

**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Dear Sir:

Applicants hereby respectfully submit this Response to the "Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures," dated May 10, 2002, due for reply by July 10, 2002. Applicants respectfully request consideration and entry of the following Sequence Listing. Attached, please find a paper copy of a Sequence Listing as required by 37 C.F.R § 1.821(c) along with a copy of the Sequence Listing in computer readable form in ASCII-DOS format in accordance with the requirements of 37 C.F.R. § 1.821(e).

**RESPONSE**

Kindly accept and insert in the Specification, a paper copy of the Sequence Listing as required under 37 C.F.R. § 1.821(c) and a diskette containing the Sequence Listing in computer readable form in ASCII-DOS format in accordance with the requirements of 37 C.F.R. § 1.821(e) and C.F.R. § 1.824. The sequence listing information recorded in computer readable form is identical to the written (on paper) sequence listing and in compliance with 37 C.F.R. § 1.821(f).

**REMARKS**

Applicants have submitted a Sequence Listing in light of the "Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures," dated May 10, 2002. The Applicants respectfully request entry of the Sequence Listing.

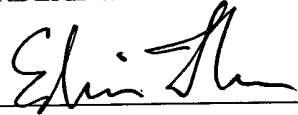
A copy of the Sequence Listing in paper and computer readable form is enclosed and consideration of the Application is requested. The content of this Sequence Listing and the computer readable copy are the same as required by 37 CFR § 1.821(f). No new matter is incorporated in the Specification by this Response in accordance with 37 C.F.R. § 1.821(g).

For the foregoing reasons, the Sequence Listing and copy in computer readable form are submitted to be in order and comply with the Sequence Rules C.F.R. § 1.821-1.825.

Dated: May 29, 2002.

Respectfully submitted,

GARDERE WYNNE SEWELL LLP



Edwin S. Flores

Registration No. 38,453

ATTORNEYS FOR APPLICANTS

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